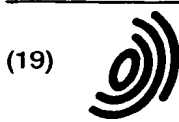


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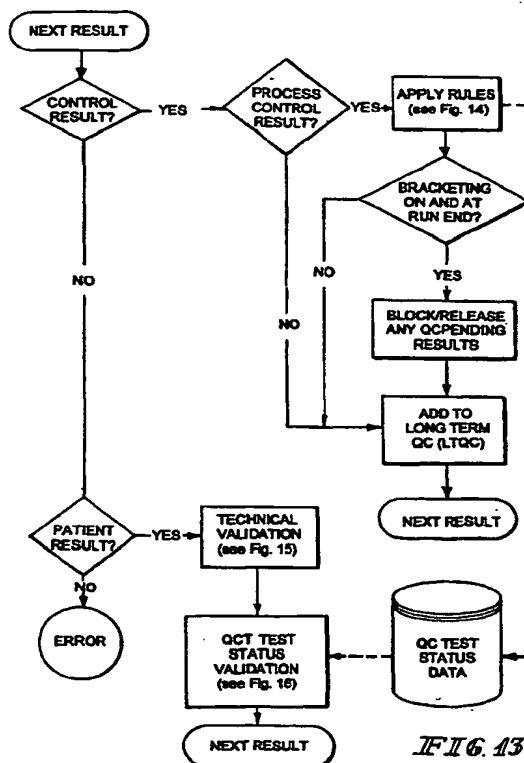
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(54) Multi-rule quality control method and apparatus

(57) A method and apparatus for analyzing the results of determinations of the concentrations of medically significant components of control solutions comprise providing a programmable machine, executing on the machine a program which tests the results against a set of statistical quality control rules, and producing indications to an operator of the results of the tests. Illustratively, (a) laboratory analytical instrument(s) run(s) the control solutions interspersed among patient samples, the concentrations of medically significant components of which are determined by the laboratory instrument(s). The quality of the laboratory instrument's(s) process(es) for determining the concentrations of the medically significant components of the patient samples are monitored by testing the outcomes of the concentration determinations of the control solutions against the set of QC rules. The QC testing process is conducted as the concentrations of the medically significant components of the control solutions are determined, so that delays between the determination of the concentrations of the medically significant components of the patient samples and the determination of the state of control of the process(es) by which those concentrations are determined are minimized.



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Description**Field of the Invention**

5 [0001] This invention relates to laboratory information management systems of the type wherein one or more automated or partly automated laboratory instruments, for example, instruments for determining the concentrations of medically significant components of samples of body fluids and/or tissues from patients who have submitted such samples for testing, provide information such as identifying indicia and control solution test results to a programmable machine which is programmed to test such results against statistical quality control criteria defined by way of rules.

Description of the Background Art

10 [0002] Laboratory information management systems are known generally. Some such systems permit the operator to select a rule against which one or a group of such results may be tested. Typically, the way in which this is done is that control solutions having known concentrations of a medically significant component of interest, for example, a hormone, are processed by the laboratory instrument right along with patient samples. The programmable machine then tests the laboratory instrument's concentration determination results against the known concentrations of the hormone in the various controls as determined by the laboratory instrument.

15 [0003] The statistical quality control test, or rule, might be, for example, "Is the reported result for the control solution within one standard deviation of the known concentration?" If the answer to such a test is "Yes," the laboratory instrument's concentration determination process is considered to be in control, and testing to determine the concentration of the hormone in patient samples proceeds. If the answer to this question is "No," the laboratory instrument's concentration determination process is considered to be out of control, and appropriate steps are taken to bring the process back into control and/or to retest the affected patient sample concentration determinations to provide more reliable results.

20 [0004] There are various sources of statistical quality control rules. Examples of collections of such rules are the so-called Rilibak rules and the Westgard rules, attributed to Dr. James O. Westgard. Westgard statistical quality control has been implemented manually in the control of processes using Shewhart charts. These statistical quality control strategies, while effective, permitted only off-line, non-real time testing of process results against the statistical quality control rules. What this ordinarily meant in the manufacturing context, for example, is that by the time statisticians became aware that a manufacturing process was out of control, several potentially non-conforming units of manufacture had already been produced. This, of course, typically dictated that further quality checking be performed on suspected non-conforming units of manufacture, and/or corrective action be taken as necessary.

Disclosure of the Invention

35 [0005] According to an aspect of the invention, a system for analyzing the results of determinations of the concentrations of medically significant components of control solutions comprises a programmable machine, and a program executable on the machine for testing the results against a set of multiple rules and for producing indications to an operator of the results of the tests.

40 [0006] Illustratively according to this aspect of the invention, the system further comprises an instrument for sequentially determining the concentrations of medically significant components of multiple samples of body fluids and control solutions, and an interface for relaying the results of the determinations of the concentrations of the medically significant components of the control solutions to the programmable machine to be tested by the program.

45 [0007] Further illustratively according to this aspect of the invention, the program for testing the results against multiple rules comprises a program for testing a result of a first determination of the concentration of a first medically significant component of a first sample of a first control solution against a first subset of the set of multiple rules, and subsequently testing a result of at least one of: a second determination; the concentration of a second medically significant component; a second sample; and, a second control solution against at least one of the first subset and a second subset of the set of multiple rules.

50 [0008] Additionally illustratively according to this aspect of the invention, the instrument for sequentially determining the concentrations of medically significant components of multiple samples of body fluids and control solutions comprises an instrument for sequentially determining the concentrations of different medically significant components of samples of different body fluids and different control solutions in response to instructions to determine the concentrations of different medically significant components of samples of different body fluids and different control solutions, and the program comprises a program for instructing the instrument to determine the concentrations of different medically significant components of samples of different body fluids and different control solutions, and the system further comprises an interface for relaying instructions from the programmable machine to the instrument.

[0009] Additionally according to this aspect of the invention, the system further comprises a second instrument for sequentially determining the concentrations of medically significant components of multiple samples of body fluids and control solutions, and an interface for relaying the results of determinations by the second instrument to the programmable machine to be tested by the program.

[0010] Further illustratively according to this aspect of the invention, the instrument and the second instrument respectively comprise: an instrument for sequentially determining the concentrations of different medically significant components of samples of different body fluids and control solutions in response to instructions to determine the concentrations of different medically significant components of samples of different body fluids and control solutions; and, a second instrument for sequentially determining the concentrations of different medically significant components of samples of different body fluids and control solutions in response to instructions to determine the concentrations of different medically significant components of samples of different body fluids and control solutions, and the program comprises a program for selectively instructing one of the instrument and the second instrument to determine the concentrations of different medically significant components of samples of different body fluids and control solutions, the system further comprising an interface for relaying instructions from the programmable machine to the one of the instrument and the second instrument.

[0011] According to another aspect of the invention, a method for analyzing the results of determinations of the concentrations of medically significant components of control solutions comprises the steps of providing a programmable machine, testing the results on the machine against a set of multiple rules, and producing indications to an operator of the results of the tests.

[0012] Illustratively according to this aspect of the invention, the method further comprises the step of sequentially determining the concentrations of medically significant components of multiple samples of control solutions and body fluids, and relaying the results of the determinations of the concentrations of the medically significant components of the control solutions to the programmable machine to be tested by the program.

[0013] Additionally according to this aspect of the invention, testing the results against multiple rules comprises testing a result of a first determination of the concentration of a first medically significant component of a first sample of a first control solution against a first subset of the set of multiple rules and subsequently testing a result of at least one of: a second determination; the concentration of a second medically significant component; a second sample; and, a second control solution against at least one of the first subset and a second subset of the set of multiple rules.

[0014] Further according to this aspect of the invention, sequentially determining the concentrations of medically significant components of multiple samples of body fluids and control solutions comprises sequentially determining the concentrations of different medically significant components of samples of different body fluids and control solutions in response to instructions to determine the concentrations of different medically significant components of samples of different body fluids and control solutions, ~~instructing the determination of the concentrations of different medically significant components of samples of different body fluids and control solutions, and relaying instructions from the~~ programmable machine to the instrument.

[0015] Additionally illustratively according to this aspect of the invention, testing the results against the set of multiple rules comprises testing a result of a first determination of the concentration of a first medically significant component of a first sample of a first control solution against a first subset of the set of multiple rules and subsequently testing a result of at least one of: a second determination; the concentration of a second medically significant component; a second sample; and, a second control solution against at least one of the first subset and a second subset of the set of multiple rules.

Brief Descriptions of Illustrative Drawings

[0016] The invention may best be understood by referring to the following detailed description and accompanying drawings which illustrate the invention. In the drawings:

Figs. 1-12 illustrate certain screens generated by an apparatus and method according to the present invention; and,

Figs. 13-16 illustrate flow diagrams of program modules for conducting a method according to the present invention on an apparatus according to the present invention.

Detailed Descriptions of Specific Embodiments

[0017] Multi-rule statistical quality control strategies employ combinations of rules to achieve lower incidences of false rejects for the same probability of detecting a given size error than single rule statistical quality control strategies can. The rules employed in implementing such strategies can include, for example, combinations of two or more of the following rules. In the following rules, "ks," where k is an integer, means k standard deviations; "W" means within a run;

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according to the invention also support the bracketing mode. As previously noted, in the bracketing mode, patient results are held until results of the testing of one or more controls by the instrument are evaluated by the multi-rule strategy. Once the results of the instrument's testing of the control(s) is(are) tested against the suite of rules and the instrument is determined from this testing to be in control both before and after the patient sample(s) was(were) evaluated, the patient results are released, for example, to a patient results data base.

[0020] The system of the present invention provides: a method for selecting and configuring the suite of QC rules against which a particular result or group of results will be tested; an engine that evaluates results as they arrive at the programmable machine; a display of whether the measurement process is in control according to each selected rule of the suite, or whether the measurement process is under caution according to that rule, or whether the measurement process is out of control according to that rule; a means for the operator to set the status of a particular result or group of results with respect to selected criteria independent of rule status--for example, an operator can overwrite the selected rule(s) and always be in control of the process; a visual indication of the condition of statistical quality control testing of the results against each rule--for example, "green" = ok, "yellow" = warning, and "red" = failed when tested against a particular rule; a display of the state of a particular result or group of results with respect to a particular rule; automatic switching of the state of a particular result or group of results when testing of the control(s) associated with that particular result or group of results against a rule indicates that the process by which the result(s) is(are) obtained is or may be out of control; automatic release of validated results generated by the laboratory instrument, for example, into a data base of such results, as long as testing of the control(s) associated with that particular result or group of results against all selected rules indicates that the process by which the result(s) is(are) obtained is in control; when the testing is being conducted in bracketing mode, automatic switching of the state of a particular result or group of results when testing the controls associated with that particular result or group of results against all selected rules indicates that the process by which the result(s) is(are) obtained is in or out of control, respectively, and automatic passage of that(those) result(s) to the data base, or withholding of that (those) result(s) from the data base, respectively, depending upon the state of that particular result or group of results.

[0021] The multi-rule quality control testing method and apparatus can be integrated into laboratory system data handling and management software. In the illustrated example, the multi-rule process and apparatus are implemented as components of the LSM, the disclosure of which is incorporated herein by reference. In the LSM, information, prompts, etc., are displayed to the operator on screens designed to resemble hanging file folders. The tabs at the tops of the various folders select those folders. Selection of one of the folders causes that screen, its contents, menu, etc., to be displayed to the operator. The screens which are accessed by the multi-rule method and apparatus in the illustrated embodiment include a test status screen which displays the status, for example, in control (indicated by a green circle), caution (indicated by a yellow circle containing an exclamation mark), and out of control (indicated by a red circle containing an "X"). In the illustrated embodiment, the test status screen also illustrates a list of each failing quality control, violations produced by rule failures, and details of the control results associated with each failure. From this screen, an operator can also manually control the status of a test and view a log of all manual operator QC events and interactions. Any comments added by operators in connection with manual operator QC events and interactions can also be viewed and edited. These comments will indicate by which operator and when the comments were entered, protecting against someone else changing the comment, but permitting adding to the comment. A library of standard comments is also available from which the user can select (a) standard comment(s). Illustrative test status screens are illustrated in Figs. 1-4. An illustrative test status report is illustrated in Table 1.

Table 1

Test and QC Rule Status (The columns under Within/Across Run/System are printed only if Rules were requested)

Test	Instrument	Test State	WITHIN RUN										ACROSS RUN										ACROSS SYSTEM	
			102s		RoKs		302s		401s		Mxbar		202s		20202s		401s		Mxbar		RoKs		wC	aC
			wC	aC	wC	aC	wC	aC	wC	aC	wC	aC	wC	aC	wC	aC	wC	aC	wC	aC	wC	aC		
ChMb	ELEC1	0		0	0	0					0	0												
Calcium	ES001	X	1						X		0				0									N
Creatinin	ES002	0		0	0	0					0			0										

0 = OK, 1 = Warning, X = Error, ? = Incomplete

Last Control Results (for year-selected interval): (This table is printed only if Last Results were requested)

Test	Instrument	Control	Result	SDI	Target	SD	Date	Time
ChMb	ELEC1	PPIM	91.3	1.3	81.4	10.3	1/10/96	12:29 PM
		PNIM	28.4	1.9	20.6	4.7	1/8/96	9:08 AM
Calcium	ES001	PPIM	91.3	1.3	81.4	10.3	1/10/96	12:29 PM
		PNIM	28.4	1.9	20.6	4.7	1/8/96	9:08 AM
		CPID	43.3	-0.4	44.0	1.7	1/9/96	10:27 AM
Creatinin	ES001	PPIM	91.3	1.3	81.4	10.3	1/10/96	12:29 PM

Table 1 continued

QC Event List for CkMb on ELECI (for user-selected interval): (This table is printed only if Events were requested)

Event	Control	Date	Time
Violation: 1 x 3s Rule	PNIM	1/10/96	12:49 PM
Status Green: JONESMT		1/10/96	12:47 PM
Violation: 2 of 3 x 2s Rule	PRIM	1/10/96	12:44 PM
Warning: 4 x 1s Rule	PRIM	1/10/96	12:29 PM
Status Green: JONESMT		1/10/96	11:54 PM
Status Red: RICKDJ		1/10/96	11:10 PM

QC Event List for Calcium on ES001 (for user-selected interval): (This style table is printed if Comments were requested)

Event	Date	Time	Control/Comment
Violation: 1 x 3s Rule	1/10/96	12:49 PM	PNIM Appears to be a false rejection (A violation could have a comment)
Status Green: JONESMT	1/10/96	12:47 PM	Put in the wrong vial
Violation: 2 of 3 x 2s Rule	1/10/96	12:44 PM	PPIM
Warning: 4 x 1s Rule	1/10/96	12:29 PM	PPIM
Status Green: JONESMT	1/10/96	11:54 AM	Recalibrated and got 3 QC's within 1SD after discovering (and removing) spider's web covering sensor (Comments wrap as necessary)
Status Red: RICKDJ	1/10/96	11:10 AM	Getting a lot of bad patient results so I assume something is wrong.

Table 1 continued

QC Event List for Creatinin on ES001 (for user-selected interval): (This style table is printed if Details were requested)									
Event	Date	Time	Control	Result	SDI	Target	SD	Date	Time
Violation: 1 x 3s Rule	1/10/96	12:49 PM	PPIM	91.3	1.3	81.4	10.3	1/10/96	12:29 AM
Status Green: JONESMT	1/10/96	12:47 PM							
Violation: 2 of 3 x 2s Rule	1/10/96	12:44 PM	PPIM	98.3	2.3	81.4	10.3	1/10/96	12:29 AM
			PNIM	28.4	1.9	20.6	4.7	1/8/96	9:08 AM
			PPIM	99.6	2.5	81.4	10.3	1/10/96	12:29 AM

Table 1 continued

QC Event List for Creatinin on ES002 (for user-selected interval): (This style table is printed if Details and Comments were requested)						
Event	Date	Time	Details/Comments			
Violation: 1 x 3s Rule	1/10/96	12:49 PM	Control	Result	SDI	Target SD Date Time
			PPIM	91.3	1.3	81.4 10.3 1/10/96 12:29 AM
			Appears to be a false reject			
Status Green: JONESMT	1/10/96	12:47 PM	Put in the wrong vial			
Violation: 2 of 3x 2s Rule	1/10/96	12:44 PM	PPIM	98.3	2.3	81.4 10.3 1/10/96 12:29 PM
			PNIM	28.4	1.9	20.6 4.7 1/8/96 9:08 AM
			PPIM	99.6	2.5	81.4 10.3 1/10/96 12:29 AM
Warning: 4 x 1s Rule	1/10/96	12:29 PM	PPIM	91.3	1.3	81.4 10.3 1/10/96 12:29 PM
			PNIM	28.4	1.9	20.6 4.7 1/8/96 9:08 AM
			PPIM	91.3	1.3	81.4 10.3 1/10/96 12:29 PM
			PNIM	28.4	1.9	20.6 4.7 1/3/96 9:08 AM
Status Green: JONESMT	1/10/96	11:54 AM	Recalibrated and got 3 QC's within 1SD after discovering (and removing) spider's web covering sensor			
Status Red: RJCKDJ	1/10/96	11:10 AM	Getting a lot of bad patient results so I assume something is wrong			

[0022] The screens also include a multi-rule QC rules administration screen. Using this screen the operator can select the operating mode for a test, for example, whether the test will be performed as an open run or as a bracketed run. This screen permits the operator to select the run length. If the control result(s) being tested is (are) part of an open run,

data from patient samples will be automatically released to a patient result data base if the multi-rule testing of the control result(s) indicates that the process by which the patient and control results are obtained is in control. If the control result(s) being tested is (are) part of a bracketed run, data from patient samples lying within the brackets will be held until the multi-rule testing of the control result(s) which close(s) the run indicate(s) that the process is in control. This screen also permits the operator to select the statistical quality control rules against which the control results are to be tested for QC purposes. This screen also prompts the operator to designate any parameters required to be designated for any selected rule, such as, for example, the k in 1xks. For rules which are to be applied across systems, that is across different laboratory instruments, this screen permits the operator to select which system will be the reference system for testing. Finally, this screen permits any selected rule to force a test into either a caution or out of control state when testing indicates that the process is out of control. An illustrative multi-rule QC rules administration screen is illustrated in Fig. 5. Illustrative QC rule settings are illustrated in Table 2.

Table 2

QC Rule Settings																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																													
Test	Instrument	Run Len.	Bracketing	WITHIN RUN										ACROSS RUN										ACROSS SYSTEM																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																					
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				wC	aC	K	wC	aC	K	wC	aC	wC	aC	K	wC	aC	wC	aC	K	wC	aC	wC	aC	K	wC	aC	wC	aC	wC	aC	wC	aC	K	wC	aC	K																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																									
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W = QC Warning rule, E = QC Error rule

[0023] A control definition screen permits the operator to establish quality control-specific parameters of control materials, such as, for example, mean values and standard deviations of the biologically significant components of those controls. This screen also permits designation of a particular lot of material as a process control lot or study lot. A study

lot is a lot which is used in statistical calculations, but not in the multi-rule quality control strategy for controlling the process. Illustrative control definition screens, pages 1 and 2, are illustrated in Figs. 6-7.

[0024] A QC results screen permits the operator to view control results in detail. The operator can exclude or include control results from the long term quality control statistics as well as delete ones which are the result of gross operator errors, such as the misidentification of a material. An illustrative QC results screen is illustrated in Fig. 8.

[0025] A patient validation screen permits functions similar to the QC results screen, but also permits the viewing and disposition of patient results in the context of their associated control results. Illustrative patient validation screens, the first screen and a screen displayed when the "more" button is clicked, are illustrated in Figs. 9-10.

[0026] A comment administration screen permits entry of comments which can then be selected from a menu. A comment dialog is presented to the operator for the entry of text, either to add text to an existing comment or to provide a new comment. The method and apparatus of the present invention will typically be configured to automatically present the dialog whenever the operator performs certain actions such as forcing (a) result(s) into an out of control condition or into an in control condition, excluding (a) control result(s), and so on. This screen is intended to encourage the operator to enter comments to help document and explain such actions. This supports a laboratory policy of encouraging operators to comment by offering an opportunity for them to do so, or enforcing the entry of comments where appropriate. An illustrative comment administration screen is illustrated in Fig. 11.

[0027] A user access rights administration screen permits the system to be tailored to varying levels of access by different operators. For example, some operators may be permitted to access all system screens while others are permitted to access only certain screens. An illustrative user access rights administration screen is illustrated in Fig. 12.

[0028] Two background modules provide most of the internal functions of the multi-rule QC system. One of these, the run module, monitors the receipt of control and patient results from the various laboratory instruments whose results the system is monitoring, passes control results to the other module, a rules evaluation module, and modifies the status of a test according to the evaluation results. After checking patient results for normal ranges, etc., the run module can automatically release a patient result if the corresponding test status is in control and the rule against which the associated control is tested is operating in open run mode. If the rule is operating in bracketing mode, the run module does not release a patient result until the module has received and tested sufficient control results to establish that the entire bracketed run is in control. The run module also provides certain services to the various screens to support operator actions, such as forcing a control result into an out of control condition or into an in control condition, deleting or excluding a result, and so on, and updating information for display on all screens.

[0029] The rule evaluation module is the background module which is responsible for evaluating control results against the selected QC rules. This module keeps sufficient information about the most recent control results to be able to evaluate each control result against all selected rules as each control result is received. The rule evaluation module passes this information to the run module where patient results are completely evaluated as soon as they are received from the various laboratory instrument interfaces. Except when bracketing mode is enabled, the system continuously evaluates and releases patient results to the patient results data base.

[0030] The flow diagram illustrated in Fig. 13 illustrates validation of results obtained from a laboratory instrument through an appropriate interface. As each result is provided to the system of the invention, it is identified as either a control result or a patient result. If the result is identified as a control result, it is next determined whether the result is a process control result. If the result is identified as a process control result, it is tested against the selected statistical quality control rules. See Fig. 14. If the system and method are not operating in bracketing mode, results passing testing against the selected statistical quality control rules are supplied to the QC test status data base. If the system and method are operating in bracketing mode, and the end of the bracket has not yet been reached, the results are added to the long term quality control data base. If the system and method are operating in bracketing mode, and the end of the bracket has been reached, all patient results within the bracket are either blocked or released, depending upon whether the control results passed testing against the selected statistical quality control rules. All control results are added to the long term quality control data base. The system and method then return for evaluation of the next result. If the control result is not a process control result, it is added to the long term QC data base. If the result is a patient result, it is validated technically. See Fig. 15. Once validated technically, it is validated against the QC test status. See Fig. 16. The system and method then return for evaluation of the next result. Finally, if a result is neither a control result nor a patient result, an error is indicated.

[0031] In the application of the rules, Fig. 14, the decision is first reached whether more rules are selected or configured. If not, the system and method have finished testing the result against the selected rules. If so, the system and method get the next rule against which the result is to be tested. The system and method determine whether all results required by the rule to conduct the indicated test are available. If not, the status of the test is indicated as incomplete, and the system and method return to determine if all results required by the rule to conduct the indicated test are available. If so the system and method determine whether the rule has been violated by the result. If not, the process is indicated as being in control with respect to that particular rule, and the system and method return to test the result against the next rule. If the rule is determined to have been violated, the severity of the violation is ascertained. There are, as

noted above, two levels of severity, caution and out of control. If the process is adjudged out of control, an indication of the out of control status of the result with respect to that rule is produced, the status of the test with respect to that rule is stored in the QC test status data, and the system and method return to test the result against the next rule. If the process is adjudged to be in a caution condition, an indication of the caution status of the result with respect to that rule is produced, and the status of the QC test with respect to that rule is determined. If the QC test status is already in an out of control condition, the system and method return to test the result against the next rule. If the QC test status is not in an out of control condition, an indication of the caution status of the result with respect to that rule is produced, the status of the test with respect to that rule is stored in the QC test status data, and the system and method return to test the result against the next rule. It should be noted that the system and method will not reduce the severity of system status with respect to a selected rule, for example, change an indication of the system status with respect to a selected rule from red to yellow, red to green, or yellow to green. An operator must intervene to achieve this. However, the system and method will increase the severity of the system status with respect to a selected rule, for example, change it from green to red, green to yellow, or yellow to red, automatically whenever such action is warranted by the results of testing.

[0032] In quality control test status validation, Fig. 16, the system and method first determine if the QC test status is indicated as out of control. If so, a result is marked with a QC error and blocked. The result is saved to the data base and the QC test status validation is complete. If the QC test status is not indicated as being out of control, the timing of the result is ascertained. If the result is prior in time to the most recent determination, based upon testing of a control, that the process is in control, the result is blocked. Underlying this action is the assumption that the QC test must have indicated that the process being tested was out of control prior to the most recent event indicated to be in control. If the result is not prior in time to the most recent event indicated as being in control, the system and method next determine whether the result has been blocked. If so, the result is saved to the data base. If not, the system and method next determine whether bracketing is enabled. If so, the result's state is set to QC pending, pending testing of the bracket closing control's(s) result(s) against the selected rule(s). The result is then saved to the data base. If bracketing is not enabled, the result is released to be saved to the data base. Once the result is saved to the data base, QC test status validation is complete.

[0033] In technical validation, Fig. 15, the system and method first determine whether the result has been generated on a laboratory instrument already flagged for some reason. This might occur, for example, if the operator already is aware that the instrument is in need of service, etc. If the instrument has already been flagged, the result is marked "instrument flagged," and the result is blocked from passage to the data base. If the instrument is not flagged, the test is next validated against the normal ranges for the test. The best matching normal range for the test is identified, and the test is validated against that range. If no normal range for the test is identified, the result is so marked, and, depending on the setting of a file in the system, the result may be blocked. If a normal range for the test is identified, the result is marked, and, depending on the setting of a file in the system, the result may be blocked. After the test is validated against the normal range, or, where no normal range can be found, the result is marked as having no normal range, or where the test is not validated against a normal range, the test is next validated against prior results for the same patient. If there are no prior results in the patient data base for the patient, the result is so marked. If there are prior results in the data base for the patient, the percentage change is checked against the allowable change, the result is marked with that change, and, depending on the setting of a configuration file in the system, the result may be blocked. Once the result is marked with a percentage change, or, where no prior patient data exists, marked to indicate that such marking is not possible, or where the test is not validated against prior patient results, the technical validation is complete.

Claims

1. A system for analyzing the results of determinations of the concentrations of medically significant components of control solutions, the system comprising a programmable machine and a program executable on the machine for testing the results against a set of multiple rules, and for producing indications to an operator of the results of the tests.
2. The system of claim 1 further comprising an instrument for sequentially determining the concentrations of medically significant components of multiple samples of body fluids and control solutions, and an interface for relaying the results of the determinations of the concentrations of the medically significant components of the control solutions to the programmable machine to be tested by the program.
3. The system of claim 2 wherein the program for testing the results against multiple rules comprises a program for testing a result of a first determination of the concentration of a first medically significant component of a first sample of a first control solution against a first subset of the set of multiple rules, and subsequently testing a result of at least one of: a second determination; the concentration of a second medically significant component; a second

sample; and, a second control solution against at least one of the first subset and a second subset of the set of multiple rules.

- 5 4. The system of claim 2 wherein the instrument for sequentially determining the concentrations of medically significant components of multiple samples of body fluids and control solutions comprises an instrument for sequentially determining the concentrations of different medically significant components of samples of different body fluids and different control solutions in response to instructions to determine the concentrations of different medically significant components of samples of different body fluids and different control solutions, and the program comprises a program for instructing the instrument to determine the concentrations of different medically significant components of samples of different body fluids and different control solutions, the system further comprising an interface for relaying instructions from the programmable machine to the instrument.
- 10 5. The system of claim 4 wherein the program for testing the results against the set of multiple rules comprises a program for testing a result of a first determination of the concentration of a first medically significant component of a first sample of a first control solution against a first subset of the set of multiple rules and subsequently testing a result of at least one of: a second determination; the concentration of a second medically significant component; a second sample; and, a second control solution against at least one of the first subset and a second subset of the set of multiple rules.
- 15 6. The system of claim 2 further comprising a second instrument for sequentially determining the concentrations of medically significant components of multiple samples of body fluids and control solutions, and an interface for relaying the results of determinations by the second instrument to the programmable machine to be tested by the program.
- 20 7. The system of claim 6 wherein the program for testing the results against multiple rules comprises a program for testing a result of a first determination of the concentration of a first medically significant component of a first sample of a first control solution against a first subset of the set of multiple rules, and subsequently testing a result of at least one of: a second determination; the concentration of a second medically significant component; a second sample; and, a second control solution against at least one of the first subset and a second subset of the set of multiple rules.
- 25 8. The system of claim 6 wherein the instrument and the second instrument respectively comprise: an instrument for ~~sequentially determining the concentrations of different medically significant components of samples of different~~ body fluids and control solutions in response to instructions to determine the concentrations of different medically significant components of samples of different body fluids and control solutions; and, a second instrument for sequentially determining the concentrations of different medically significant components of samples of different body fluids and control solutions in response to instructions to determine the concentrations of different medically significant components of samples of different body fluids and control solutions, and the program comprises a program for selectively instructing one of the instrument and the second instrument to determine the concentrations of different medically significant components of samples of different body fluids and control solutions, the system further comprising an interface for relaying instructions from the programmable machine to the one of the instrument and the second instrument.
- 30 9. The system of claim 8 wherein the program for testing the results against the set of multiple rules comprises a program for testing a result of a first determination of the concentration of a first medically significant component of a first sample of a first control solution against a first subset of the set of multiple rules and subsequently testing a result of at least one of a second determination; the concentration of a second medically significant component; a second sample; and, a second control solution against at least one of the first subset and a second subset of the set of multiple rules.
- 35 10. A method for analyzing the results of determinations of the concentrations of medically significant components of control solutions, the method comprising the steps of providing a programmable machine, testing the results on the machine against a set of multiple rules, and producing indications to an operator of the results of the tests.
- 40 11. The method of claim 10 further comprising the step of sequentially determining the concentrations of medically significant components of multiple samples of body fluids and control solutions, and relaying the results of the determinations of the concentrations of the medically significant components of the control solutions to the programmable machine to be tested by the program.
- 45 50 55

12. The method of claim 11 wherein testing the results against multiple rules comprises testing a result of a first determination of the concentration of a first medically significant component of a first sample of a first control solution against a first subset of the set of multiple rules and subsequently testing a result of at least one of: a second determination; the concentration of a second medically significant component; a second sample; and, a second control solution against at least one of the first subset and a second subset of the set of multiple rules.

13. The method of claim 11 wherein sequentially determining the concentrations of medically significant components of multiple samples of body fluids and control solutions comprises sequentially determining the concentrations of different medically significant components of samples of different body fluids and control solutions in response to instructions to determine the concentrations of different medically significant components of samples of different body fluids and control solutions, instructing the determination of the concentrations of different medically significant components of samples of different body fluids and control solutions, and relaying instructions from the programmable machine to the instrument.

14. The method of claim 13 wherein testing the results against the set of multiple rules comprises testing a result of a first determination of the concentration of a first medically significant component of a first sample of a first control solution against a first subset of the set of multiple rules and subsequently testing a result of at least one of: a second determination; the concentration of a second medically significant component; a second sample; and, a second control solution against at least one of the first subset and a second subset of the set of multiple rules.

Operator: rusull

Preparation

Test Status

QC Results

Orders

Validation

Statistics

Tools

Utilities

Date: 1/11/96 4:43:19 PM

Status	Test	Instr.	QC Event Hst	Event	Control ID	Date/Time
ALL	ALL	ALL				
CKMb	ES002	4				
"	ES001	0		Violation: 1x3s WR Rule	PNIM	1/10/96 12:49 AM
"	"	0		Status Green: JONESMT	PNIM	1/10/96 12:47 AM
⊕	ELEC1	0		Violation: 2x3x2s WR AC Rule	PPIM	1/10/96 12:44 AM
"	ELEC2	2		Warning: 4x1s AR Rule	PPIM	1/10/96 12:29 AM
"	ES001	4		Status Green: JONESMT		1/9/96 11:54 PM
"	ELEC2	2		Status Red: RICKSDJ		1/9/96 11:10 PM
"	ES002	2				
"	ELEC1	2				
"	ES002	2				
"	ELEC1	2				
○	ELEC2	0				
"	ES001	0				
"	ELEC1	2				
"	"	2				
"	CK-MB	0				
"	CA 125	0				
"	CA 15-3	2				

Reset r

Go Red

Go Green

Rules

Comment

Details

Help

Alarm

Print

LogOff

FIG. 1

FIG. 2

Operator: rsull

Preparation

Results

Laboratory Systems Manager

Validation

Test Status

Date: 1/11/96 4:43:19 PM

Tools

Statistics

QC Results

Utilities

Status

ALL

CKMB

ES002

4

Test

ALL

ALL

Instr.

ALL

Status	Test	Instr.	Count	Event	Control ID	Date/Time
⊗	CKMB	ES002	4	Violation: 1x3s WR Rule	PNIM	1/10/96 12:49 AM
"	"	ES001	0	Status Green: JONESMT	PNIM	1/10/96 12:47 AM
"	FT3	"	0	Violation: 2of3x2sWR AC Rule	PPIM	1/10/96 12:44 AM
⓪	FT3	ELEC1	0	Warning: 4x1s AR Rule	PPIM	1/10/96 12:29 AM
"	FT3	ELEC2	2	Status Green: JONESMT	PPIM	1/9/96 11:54 PM
"	FT4	ES001	4	Status Red: RICKSDJ	PPIM	1/9/96 11:10 PM
"	FT4	ELEC2	2			
"	T3	ES002	2			
"	"	ELEC1	2			
"	T4	ES002	2			
"	"	ELEC1	2			
"	"	ELEC2	0			
"	"	ES001	0			
"	TBK	ELEC1	2			
"	CEA	"	2			
"	CKMB	"	0			
"	CA 125	ES001	0			
"	CA 15-3	"	2			

QC Event Hist

Event

Violation: 1x3s WR Rule

Status Green: JONESMT

Violation: 2of3x2sWR AC Rule

Warning: 4x1s AR Rule

Status Green: JONESMT

Status Red: RICKSDJ

Event Comment

1/10/96 10:22 PM JONESMT Recalibrated

1/10/96 12:47 AM RICKSDJ Similar to the problem I had yesterday when the de-conditioning failed.

Reset r

Go Red

Go Green

Rules

Comment

Details

Help

Alarm

Print

LogOff

FIG. 3

Operator: rusul

Laboratory Systems Manager

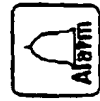
Date: 1/11/96 4:43:19 PM

☒ CKMB
 ☐ ES002
 ☐ 4

Status	Test	Instr.	Count	Event	Control ID	Date/Time
"	FT3	ELEC1	0	Violation: 1x3s WR Rule	PNIM	1/10/96 12:49 AM
"	FT3	ELEC1	0	Status Green: JONESMT	PPIM	1/10/96 12:47 AM
"	FT3	ELEC2	0	Violation: 2of3x2s WR AC Rule	PPIM	1/10/96 12:44 AM
"	FT4	ELEC2	2	Warning: 4x1s AR Rule	PPIM	1/10/96 12:29 AM
"	FT4	ELEC2	4	Status Green: JONESMT		1/9/96 11:54 PM
"	T3	ELEC2	2	Status Red: RICKSDJ		1/9/96 11:10 PM
"	T4	ELEC1	2			
"	"	ELEC1	2			
"	"	ELEC1	2			
"	"	ELEC2	0			
"	"	ELEC2	0			
"	TBK	ELEC1	2			
"	CEA	"	2			
"	CK-MB	"	0			
"	CA 125	ES001	0			
"	CA 15-3	"	2			

Result	-3s	+3s	Target	SD	Date/Time
PPIM	91.3	91.3	81.4	10.3	1/10/96 12:29 AM
"	92.02	92.02	81.4	10.3	1/9/96 11:54 PM
"	91.83	91.83	81.4	10.3	1/9/96 7:54 AM
PNIM	28.94	28.94	20.6	4.7	1/8/96 9:08 AM

FIG. 4



Operator: rusuli

Laboratory Systems Manager

Date: 9/23/96 1:45:42 PM

Preparation

Orders

Validation

Statistics

Tools

Utilities

Useis

Inventory

Test Protocol

QC Rules

Layout

Distribution

More

Test

ALL

ALL

ES002

ES001

"

ELEC1

ELEC2

ES001

ELEC2

ES002

ELEC1

ES002

ELEC1

ELEC2

ES002

ELEC1

"

"

ES002

"

ES001

Instr.

ALL

ES002

ES001

"

ELEC1

ELEC2

ES001

ELEC2

ES002

ELEC1

ES002

ELEC1

ELEC2

ES002

ELEC1

"

"

ES002

"

ES001

Run Length (N):

6

Bracketing:

☒

WITHIN RUN RULES

	Within Control	Across Controls
1x2s	<input type="radio"/>	
1xKs	<input type="radio"/>	<input type="radio"/>
RxKs	<input checked="" type="radio"/>	<input type="radio"/>
2x2s	<input checked="" type="radio"/>	<input type="radio"/>
2of3x2s	<input checked="" type="radio"/>	<input type="radio"/>
3x1s	<input checked="" type="radio"/>	<input type="radio"/>
Mxbar	<input type="radio"/>	<input type="radio"/>
Mmono	<input type="radio"/>	<input type="radio"/>

ACROSS RUN RULES

	Within Control	Across Controls
2x2s	<input checked="" type="radio"/>	<input type="radio"/>
2of3x2s	<input checked="" type="radio"/>	<input type="radio"/>
3x1s	<input checked="" type="radio"/>	<input checked="" type="radio"/>
4x1s	<input checked="" type="radio"/>	<input checked="" type="radio"/>
Mxbar	<input checked="" type="radio"/>	<input checked="" type="radio"/>
Mmono	<input checked="" type="radio"/>	<input checked="" type="radio"/>

ACROSS SYSTEMS RULES

RxKs ☒

Use as reference ☒

(with N-1)

K 4.28

M 6

Save

Help

Print

Alarm

Logout

FIG. 5

Operator: rusuli Laboratory Systems Manager Date: 11/21/96 5:18:13 p

Preparation Orders Validation Statistics Tools Utilities

Users Inventory Test Protocol Layout Distribution Archive More

Test Def. Calc. Tests Profiles Exp. Ranges Ctrl. Def.

Control ID	Lot Number	Instrument	Test Name
ALL	ALL	ALL	ALL
LYPH01	102	ELEC1	CKMb
LYPH01	102	ELEC1	FT3
LYPH01	102	ELEC1	FT4
LYPH01	102	ELEC1	T3
LYPH01	102	ELEC1	T4
LYPH01	102	ELEC1	TBK
LYPH01	102	ELEC1	TROPO
LYPH01	102	ELEC1	TSH
LYPH01	102	ELEC2	CA125
LYPH01	102	ELEC2	CA15
LYPH01	102	ELEC2	CA19
LYPH01	102	ELEC2	CA72
LYPH01	102	ELEC2	CYFRA
LYPH01	102	ELEC2	FSH
LYPH01	102	ELEC2	FT3
LYPH01	102	ELEC2	FT4
LYPH01	102	ELEC2	HCG

Control ID: LYPH01 Lot Number: 102 Instrument: ELEC1 Test Name: CKMb

Control Sample ID: LYPH01_ELEC1_B

Item Long Name: LYPH01

QC Statistics: Precision

Manufacturer: Boehringer

View Unit: U/I

Control Type: Process Control
Study
No Longer Used

Save Keep Transfer Up Down Delete

Help Alarm Print Logoff

FIG. 6

Operator: rusuli

Laboratory Systems Manager

Date: 11/21/96 5:18:13 p

Preparation

Orders

Validation

Statistics

Tools

Utilities

Users

Inventory

Test Protocol

Layout

Distribution

Archive

More

Test Def.

Calc. Tests

Profiles

Exp. Ranges

Ctrl. Def.

Control ID

Lot Number

Instrument

Test Name

Manufacturer's Target Value	ALL	ALL	ALL	ALL
Manufacturer's Deviation 1s	YPH01	102	ELEC1	CKMb
Precision Target Value	YPH01	102	ELEC1	FT3
Precision Lower Range	YPH01	102	ELEC1	FT4
Precision Upper Range	YPH01	102	ELEC1	T3
Precision Deviation 1s	YPH01	102	ELEC1	T4
Precision Deviation 2s	YPH01	102	ELEC1	TBK
Current Mean	YPH01	102	ELEC1	TROPO
Current 1s	YPH01	102	ELEC1	TSH
	YPH01	102	ELEC2	CA125
	YPH01	102	ELEC2	CA15
	YPH01	102	ELEC2	CA19
	YPH01	102	ELEC2	CA72
	YPH01	102	ELEC2	CYFRA
	YPH01	102	ELEC2	FSH
	YPH01	102	ELEC2	FT3
	YPH01	102	ELEC2	FT4
	YPH01	102	ELEC2	HCG
	ALL			

Save

Keep

Transfer

Up

Down

Delete



FIG. 7

Operator: WedelDL

Laboratory Systems Manager

Date: 9/20/96 1:44:24 PM

Test

ALL

ES002

PPIM

Instr.

ALL

Control ID

ALL

QC-Value

Result -3:

92.74

85.57

91.24

92.77

97.61

89.74

98.08

86.07

86.3

83.53

76.96

79.97

94.92

79.62

81.53

91.92

84.74

79.81

Status

+3

ALL

Flag

validate

"

"

"

"

"

"

"

"

"

"

"

"

"

"

"

"

"

Control Type: Process Control

Control ID: PPIM

Control Lot No: 101

Test: algM

Test Lot No: 28

Last Operator: Bruns

Validation Date: 1/18/95 10:36 PM

Precision Target Values

Target Value: 90 mg/dl

Range: 76.50 - 103.50

Result Dev.: 3.04 %

Result SDI: 0.64

Result Date: 1/18/95 10:46 PM

Entries in Statistic: 10

Position in Run (r): 3

Include

Exclude

Delete

Comment

FIG. 8

Operator: WedelDL Date: 9/20/96 1:44:24 PM

Preparation Orders Validation Statistics Tools Utilities

Pat. Name	Patient ID	Sample ID	Test	Result	Status	Last Operator
ALL	ALL	ALL	ALL	ALL	ALL	Neubert
FERNHOLZ, 10004	24980	CA72	PSA	0.83		Result Date/Time: 1/10/95 6:27 PM
"	"	"	"	"	"	Requestor: Dr. Mues
"	"	"	CA125	1.52	DA	Instrument: ELEC1
LIN, Helga 9995	24978	CAmb	HI, DA	7.24	HI, DA	Unit: pg/ml
"	"	"	TROPO	55	DA	Pat. Name:
"	"	"	PSA	27	HI	Patient ID:
"	"	"	CA125	74		Sample ID: LYPH01_ELEC1
"	"	24976	TSH	59	DA	Status: User (at LSM) App
	LYPH01	FT3		578	"	
	LYPH02	"		8.75	"	
	LYPH03	"		7.86	"	
LIN, Helga 9995	24976	"	HI, DA	7.18	HI, DA	
"	"	T3	DA	1.1	DA	
	LYPH01	FT4		109.27	"	
	LYPH02	"		12.53	"	
	LYPH03	"		11.59	"	
LIN, Helga 9995	24976	"	DA, P		DA, P	
"	"	FT4	HI, DA	21.71	HI, DA	
			All			

FIG. 9

Operator: WedelDL

Laboratory Systems Manager

Date: 9/20/96 1:44:24 PM

Preparation

Orders

Validation

Statistics

Tools

Utilities

Results

Test Status

QC Results

Pat. Name	Patient ID	Sample ID	Test	Result Status	2
ALL	ALL	ALL	ALL	ALL	AL
FERNHOLZ, 10004	"	24980	CA72	0.83	
"	"	"	PSA	0	
"	"	"	CA125	11.52	DA
LIN, Helga 9995	"	24978	CKMb	17.34	HI, DA
"	"	"	TROPO	0.55	DA
"	"	"	PSA	6.27	HI
"	"	"	CA125	34.74	
"	"	24976	ISTH	1.59	DA
		LYPH01	FIB	75.71	"
		LYPH02	"	88.75	"
		LYPH03	"	97.45	"
LIN, Helga 9995	"	24976	"	17.10	HI, DA
"	"	"	T3	1.7	DA
		LYPH01	FT4	108.37	"
		LYPH02	"	128.53	"
		LYPH03	"	131.59	"
LIN, Helga 9995	"	24976	"	1	DA, P
"	"	"	IST4	27.7	HI, DA
					All

Last Operator: Neubert

Result Date/Time: 1/10/95 6:27 PM

Requestor: Dr. Mues

Instrument: ELEC1

Unit: pg/ml

Pat. Name:

Patient ID:

Sample ID: LYPH01_ELEC1_

Status: User (at LSM) App

Delete

More

Tech. Det.



Operator: rusuli

Preparation

Users

Time Settings

Laboratory Systems Manager

Orders

Inventory

Archive Rules

Date: 11/22/96 9:17:33 AM

Tools

Statistics

Validation

Test Protocol

Comment Def.

Utilities

More

Lab. Mgmt.

Distribution

Layout

Label	Comment
Recallibrated	Instrument was recallibrated
Bad material	Bad material was used for result

Save

Delete

?

Help

Light

Alarm

Print

Logout

FIG. 11

Operator: rursll Date: 11/22/96 9:17:33 AM

Laboratory Systems Manager

Preparation Orders Inventory Test Protocol Validation Statistics Tools Utilities

Users Access Rights Requestors Layout Distribution Lab. Mgmt. More

Names	Access Rights	Requestors	Screen
Supervisor	NoAccess		ALL
Operator	NoAccess		Preparation Overview
Service	NoAccess		Instrument Inventory

Worklist

Order Test

Demographics

Results

QC Results

Test Status

Basic QC

LogViewer

Lab Overview

Utilities Standard Comments

Utilities User Access Rights

QC Rules Configuration

Utilities User

Save

? Help

Log Off

Print

Alarm

FIG 12

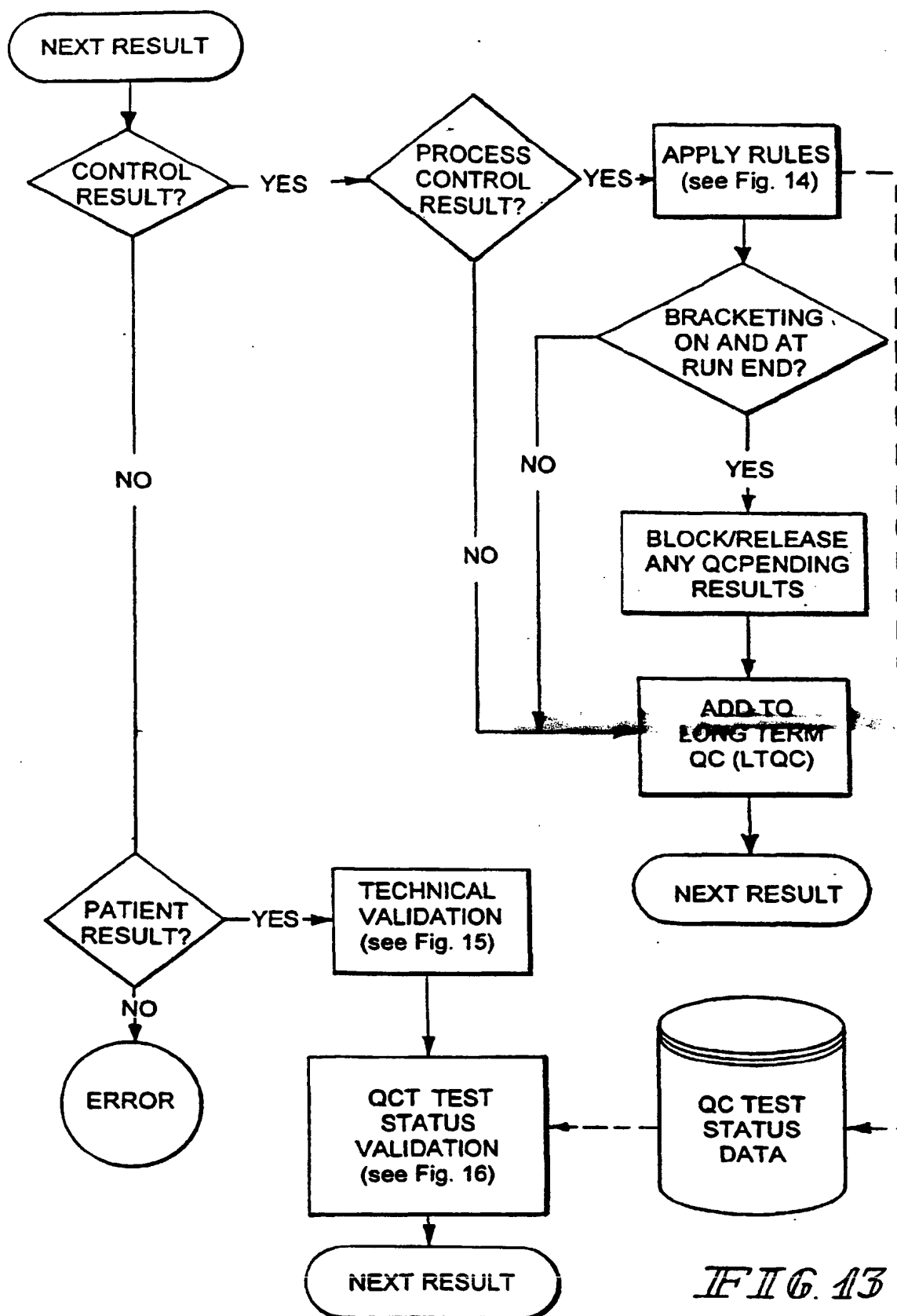
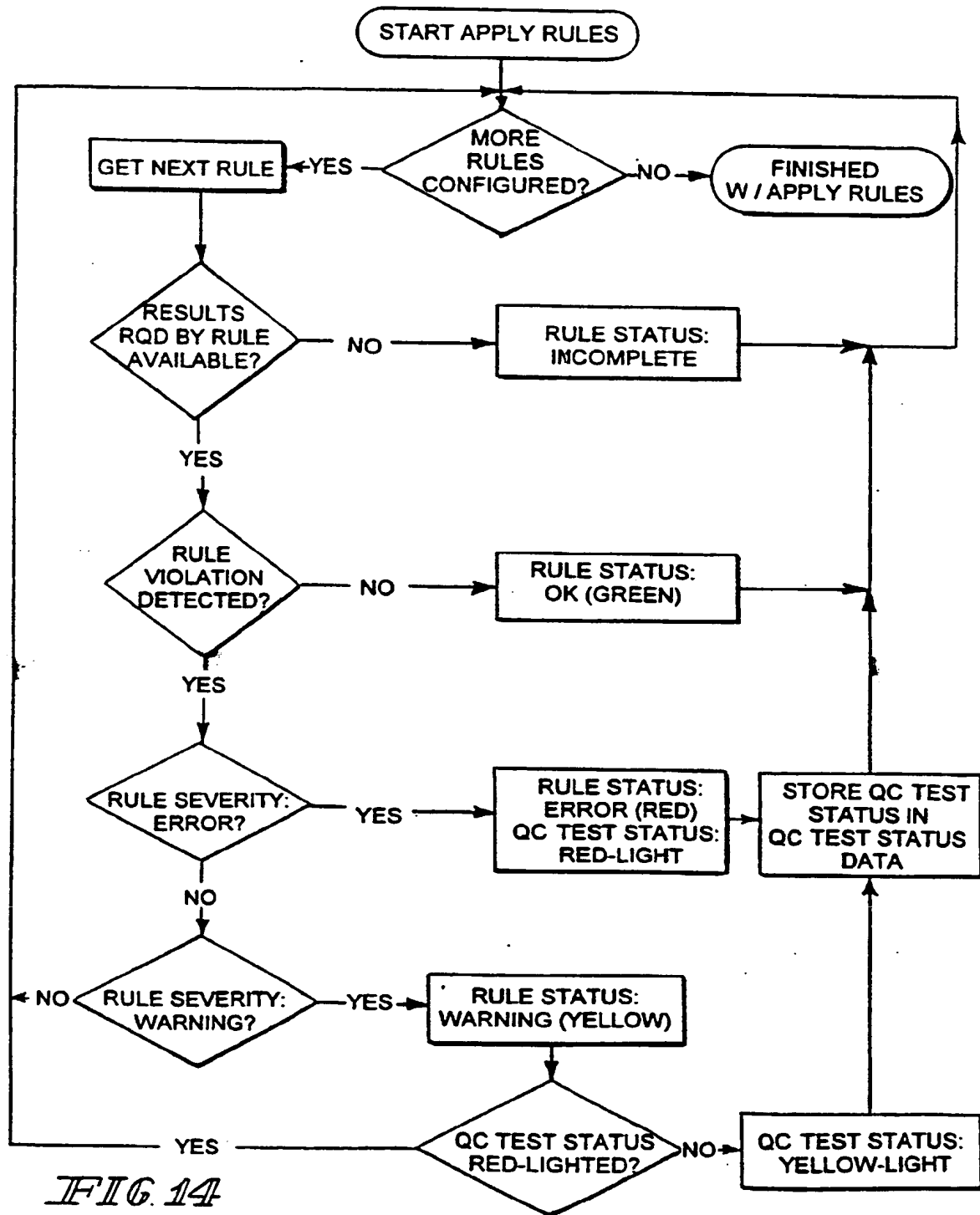
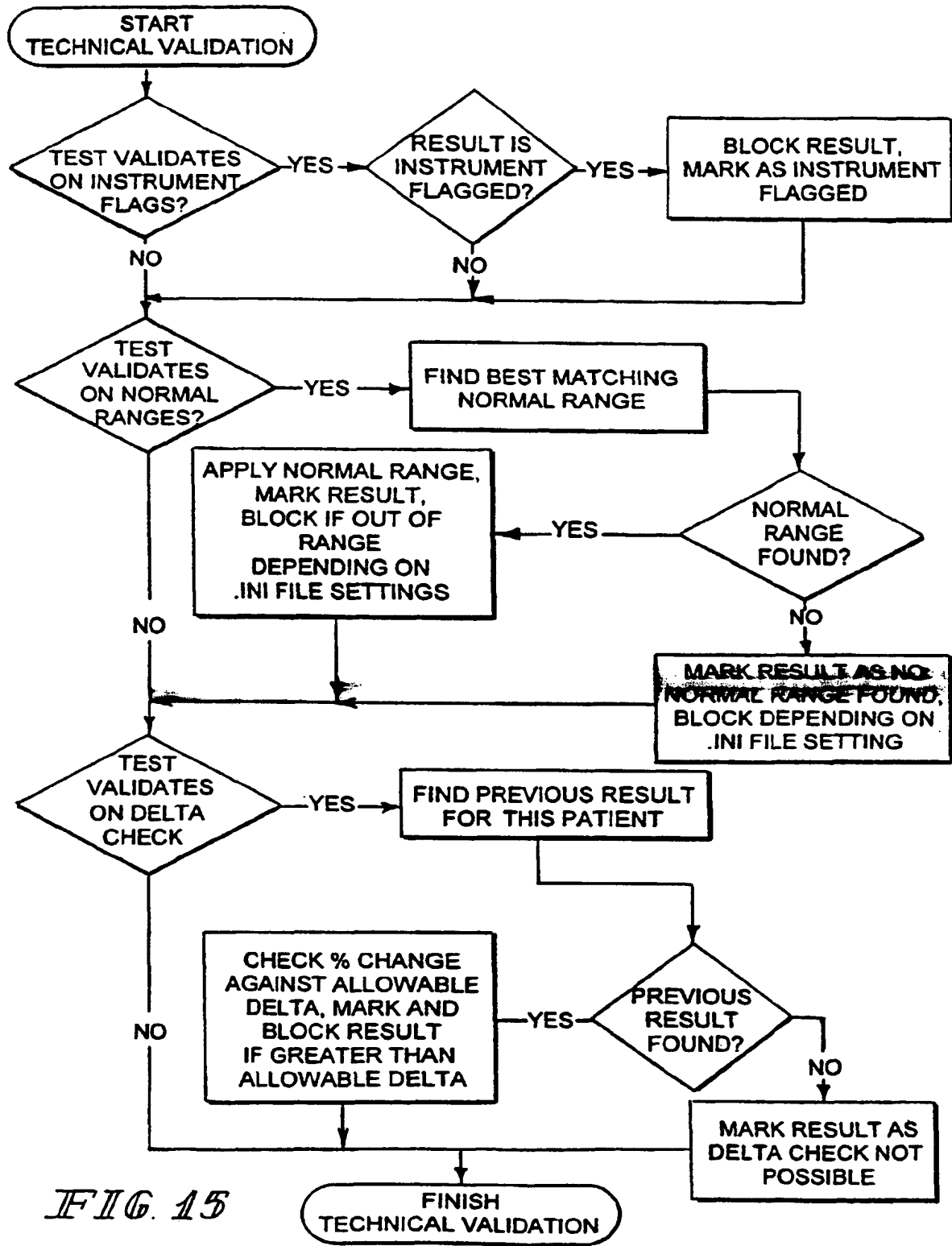


FIG. 13





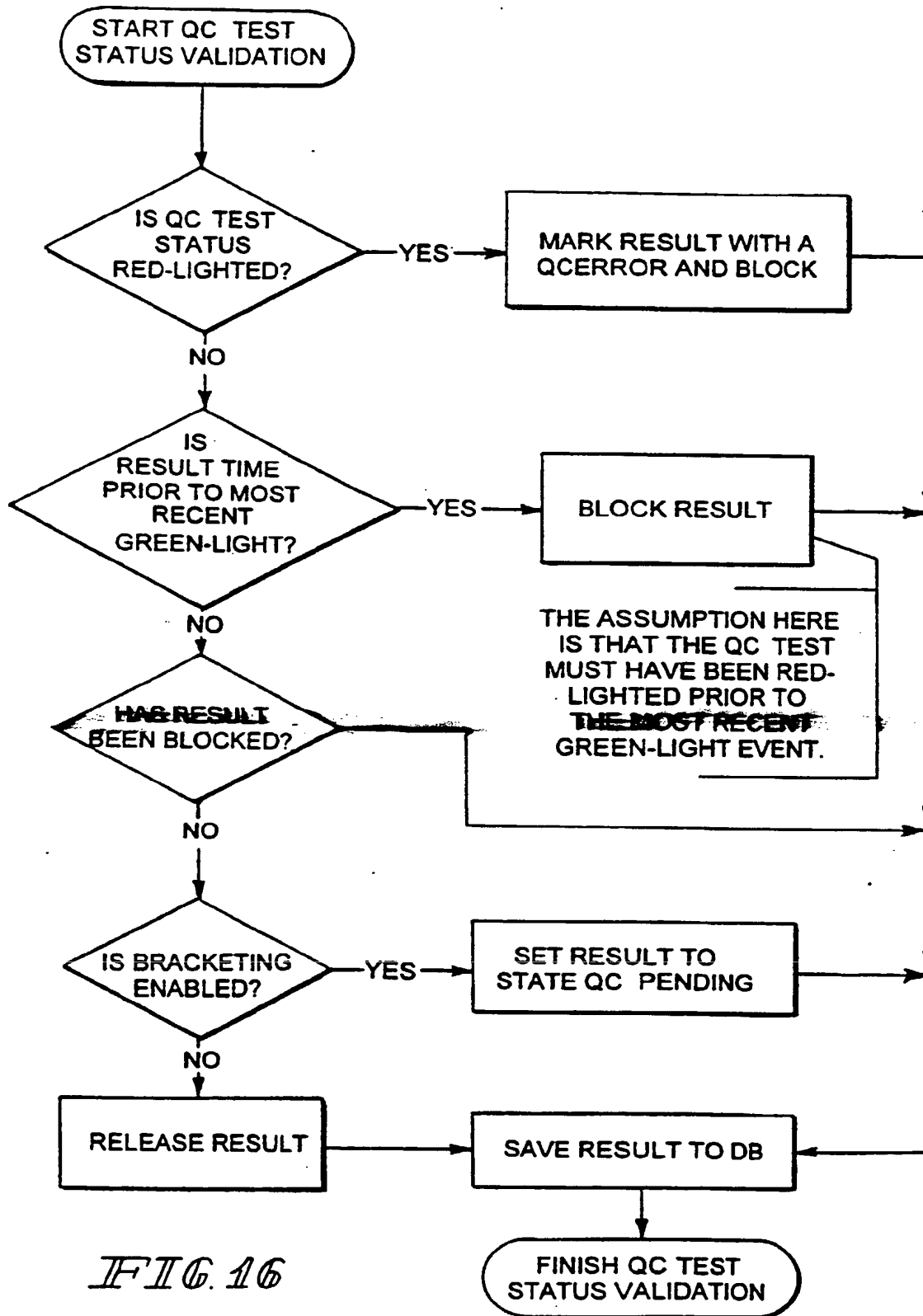


FIG. 16

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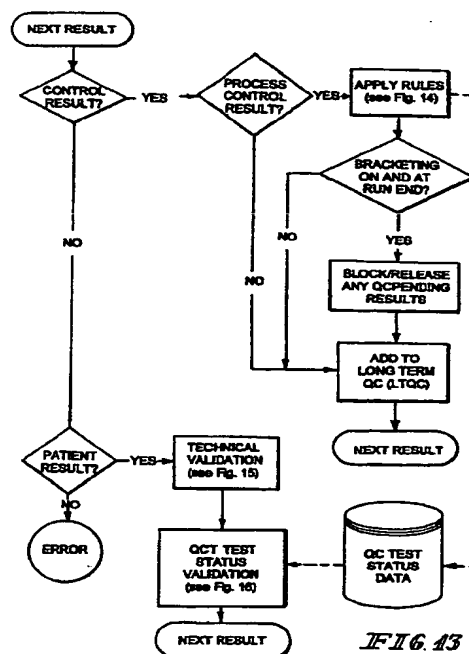
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(57) Multi-rule quality control method and apparatus

(57) A method and apparatus for analyzing the results of determinations of the concentrations of medically significant components of control solutions comprise providing a programmable machine, executing on the machine a program which tests the results against a set of statistical quality control rules, and producing indications to an operator of the results of the tests. Illustratively, (a) laboratory analytical instrument(s) run(s) the control solutions interspersed among patient samples, the concentrations of medically significant components of which are determined by the laboratory instrument(s). The quality of the laboratory instrument's(s) process(es) for determining the concentrations of the medically significant components of the patient samples are monitored by testing the outcomes of the concentration determinations of the control solutions against the set of QC rules. The QC testing process is conducted as the concentrations of the medically significant components of the control solutions are determined, so that delays between the determination of the concentrations of the medically significant components of the patient samples and the determination of the state of control of the process(es) by which those concentrations are determined are minimized.



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Application Number
EP 99 10 5107

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Place of search MUNICH		Date of completion of the search 5 October 1999	Examiner Barba, M
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<p>CATEGORY OF CITED DOCUMENTS</p> <p>X : particularly relevant if taken alone Y : particularly relevant if combined with another document of the same category A : technological background O : non-written disclosure P : intermediate document</p> <p>T : theory or principle underlying the invention E : earlier patent document, but published on, or after the filing date D : document cited in the application L : document cited for other reasons & : member of the same patent family, corresponding document</p>			

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